

ANNOUNCEMENT OF FEDERAL FUNDING OPPORTUNITY
FOR THE i6 GREEN CHALLENGE: PROOF OF CONCEPT CENTERS

EXECUTIVE SUMMARY

- **Federal Agency Name:** Economic Development Administration (EDA), U.S. Department of Commerce (DOC).
- **Funding Opportunity Title:** *i6 Green Challenge* under EDA's Economic Adjustment Assistance Program.
- **Announcement Type and Date:** Initial announcement of Federal Funding Opportunity (FFO) dated March 10, 2011.
- **Catalog of Federal Domestic Assistance (CFDA) Number:** 11.307, Economic Adjustment Assistance.
- **Dates:**
 - *Letter of Intent:* To be eligible to be considered for an **i6 Green** award, applicants **must** email a letter of intent to i6@eda.doc.gov no later than 11:59 p.m. Eastern Time on May 2, 2011. The letter must be signed by an authorized representative of the applicant and should be included as an email attachment in Adobe portable document format (PDF) (preferred) or Microsoft Word format. Letters of intent should not exceed two double-spaced pages (at least 11 point font).

In the letter, applicants should describe how **i6 Green** funding will be used, identifying any co-applicants and project partners and outlining the proposed scope of work and budget, including any proposed use of supplemental funding from the i6 Green Federal partner agencies, (*see* section II.B. of this FFO for information on supplemental funding opportunities). The letter should provide information on how the proposed Proof of Concept Center will increase the commercialization potential of regional green technology (*see* section I.A. of this FFO for complete program information). Finally, please indicate whether the applicant and any proposed co-applicant currently is receiving funding for economic development, technology transfer, commercialization, innovation, or any related purpose from any of the i6 Green Federal partner agencies: EDA, EPA, DOE, USDA/NIFA, or NSF. Failure to timely submit a letter of intent as described above **will eliminate** an applicant from consideration. EDA, in its sole discretion, will determine whether a letter of intent is adequate.

Note that the applicant's complete application should be consistent with the proposed scope of work and budget presented in the letter of intent.

The letter of intent must be received by EDA no later than 11:59 p.m. Eastern Time on May 2, 2011. The time stamp on the email as received by EDA will be considered the

time and date of submission. Please note that a copy of the letter of intent as submitted and the email transmitting it should be uploaded as an attachment in the complete application. Please see section V.A. of this FFO for more information on letters of intent.

- *Complete Application:* To be considered timely, a complete application must be transmitted and time-stamped at www.grants.gov no later than 11:59 p.m. Eastern Time on May 26, 2011. Any application transmitted and time-stamped after 11:59 p.m. Eastern Time on May 26, 2011, will be considered non-responsive and will not be considered for funding.
- *Awards:* Winning recipients should expect to receive awards by September of 2011, subject to the availability of funds.

Funding Opportunity Description: This FFO announces **i6 Green**, which focuses on the nexus between economic development and environmental quality, spotlighting the best ideas that contribute to a vibrant, innovative clean economy. EDA solicits competitive applications to encourage and reward innovative, ground-breaking ideas that accelerate technology commercialization and new venture formation across the United States. i6 Green will reward communities that utilize Proof of Concept Centers to accelerate technology-led economic development in pursuit of a clean economy. Applicants must address a persistent problem or an unaddressed opportunity with a sense of urgency and demonstrate how an i6 Green Proof of Concept Center will remove existing road blocks and spark sustainable economic opportunities in the applicant's region. Applicants will be expected to incorporate a credible plan to access additional resources and demonstrate how the proposed effort will be sustained by a well-qualified team and partners. Please see section I.A. of this FFO for more information on the program requirements and expectations of i6 Green.

Additional information and frequently asked questions can be found on the **i6 Green** website at www.eda.gov/i6. In addition, please see section VIII. of this FFO for regional contacts.

- **Application Submissions:** Applications must be submitted electronically via www.grants.gov, as described in section V. of this FFO.
- **Informational Session:** EDA will hold at least one informational session to answer questions about **i6 Green**. More details on the session and on any additional sessions will be posted on the i6 Green website at www.eda.gov/i6.
- **Award Amount:** EDA intends to award at least six winning applicants grants of up to \$1,000,000 each for a project period of up to two years from date of award. In addition, Small Business Innovation Research (SBIR) grantees that are part of or central to winning applications may be eligible to receive supplemental awards from the following participating agencies:
 - the National Science Foundation (NSF),
 - the Environmental Protection Agency (EPA), and

- the U.S. Department of Agriculture/National Institute of Food and Agriculture (USDA/NIFA).

In addition to SBIR funding, **i6 Green** recipients may be eligible for additional non-SBIR funding from the EPA and the U.S. Department of Energy (DOE). Also, recipients may be eligible for additional services from the U.S. Patent and Trademark Office (USPTO) as well as the Manufacturing Extension Partnership (MEP) of the National Institute of Standards and Technology (NIST). *See* section II.B. of this FFO for more information on these opportunities.

Please note that all amounts are contingent upon the availability of funding.

FULL ANNOUNCEMENT TEXT

I. Overview of Funding Opportunity

“Each of us has a part to play in a new future that will benefit all of us. As we recover from this recession, the transition to clean energy has the potential to grow our economy and create millions of jobs – but only if we accelerate that transition. Only if we seize the moment. And only if we rally together and act as one nation – workers and entrepreneurs, scientists and citizens, the public and private sectors.”

— President Barack Obama, June 15, 2010

A. i6 Green Background and Program Information

1. Background

The mission of the Economic Development Administration (EDA), which is an agency within the U.S. Department of Commerce (DOC), is to lead the Federal economic development agenda by promoting competitiveness and preparing American regions for growth and success in the global economy. EDA partners with distressed communities throughout the United States to foster job creation, collaboration, and innovation. The Office of Innovation & Entrepreneurship (OIE), which was established to promote innovation-based, high-growth entrepreneurship in pursuit of job creation and economic growth, is central to these efforts across EDA, DOC, and the Administration as a whole.

2. i6 Green Program Information

i6 Green, which builds on the success of last year’s inaugural i6 Challenge, is designed to encourage and reward innovative Proof of Concept Centers. Proof of Concept Centers accelerate technology commercialization by assisting entrepreneurs and existing companies, encouraging new venture formation and sparking job creation and economic growth across the United States. This year’s challenge focuses on the nexus between economic development and environmental quality. i6 Green will reward communities that utilize Proof of Concept Centers to accelerate technology-led economic development in pursuit of a vibrant, innovative clean economy. *See* section I.A.2.b. below for more information on the definition of “Proof of Concept Center” as used in this FFO.

Applicants are required to leverage regional strengths, capabilities, and competitive advantages. **EDA expects to fund proposals that enable the facilitation and creation of innovative Proof of Concept Centers that in turn will accelerate the launch of new firms, spur job creation, and contribute to economic growth here in the United States.** All applications should avoid any duplication of existing efforts or supplanting existing or budgeted efforts. **i6 Green** funding will reward Proof of Concept centers that bring transformative economic development and job growth to distressed regions.

Eligible applicants under this announcement include a(n):

- District Organization (as defined in 13 C.F.R. § 304.2);
- Indian Tribe or a consortium of Indian Tribes;
- State, city, or other political subdivision of a State, including a special purpose unit of a State or local government engaged in economic or infrastructure development activities, or a consortium of political subdivisions;
- Institution of higher education or a consortium of institutions of higher education; or
- Public or private non-profit organization or association acting in cooperation with officials of a political subdivision of a State.

EDA cannot provide grants directly or indirectly to individuals or to for-profit entities. However, supplemental Small Business Innovation Research (SBIR) funds provided through the National Science Foundation (NSF), Environmental Protection Agency (EPA), and U.S. Department of Agriculture/National Institute of Food and Agriculture (USDA/NIFA) may be available to for-profit entities that are existing SBIR grantees (Phase II only) and are part of or central to the scope of work of winning applications. *See also* section II.B. of this FFO for information on additional funding opportunities and section III.A. for complete information on EDA's eligibility requirements.

a. *Expectations*

Applications must identify how **i6 Green** funding will support the development, creation, or expansion of a green, clean tech-focused Proof of Concept Center. Applicants must address a persistent problem or an unaddressed opportunity with a sense of urgency and demonstrate how an i6 Green Proof of Concept Center will avoid duplication of existing efforts, remove road blocks, and spark sustainable economic opportunities in the applicant's region. Applicants will be expected to incorporate a credible plan to access additional resources and demonstrate how the proposed effort will be sustained by a well-qualified team and partners. Applications should include frameworks and mechanisms for accomplishing the proposed scope of work, including a description of various regional resources or institutions and actively seek to avoid replicating existing services or supplanting existing or budgeted funding for those services. Existing regional resources that should be considered include:

- Technology-based economic development organizations,
- Universities and community colleges,
- Small business development centers,
- MEP centers,
- Investors (for example, venture capitalists and business angels),
- Industry partners,
- Economic development organizations,
- Foundations,

- Export promotion organizations, and
- Other non-profit organizations.¹

The plan should address how the anchor entity, as applicable, of the Proof of Concept Center will engage partnering organizations and the roles these resources will contribute in new and innovative ways to form or expand a Proof of Concept Center. Applicants must identify the currently existing gaps or weaknesses in the region's economic ecosystem that impede technology-led economic development and explain how **i6 Green** funding will be leveraged along with additional resources in an effective and efficient manner to respond to the identified needs. Finally, applications should demonstrate how establishing or expanding a Proof of Concept Center will help drive the development of a regional innovation cluster, promote job creation, support entrepreneurial based activities, enable new venture financing, and contribute to economic growth and prosperity.

EDA expects that a Proof of Concept Center funded under **i6 Green** will help catalyze regional innovation cluster development centered on the green economy and its supporting industries. This broad goal requires the support of the entire region, and EDA strongly encourages applicants to form partnerships amongst key stakeholders, including educational institutions, regional development entities, and commercialization experts. In addition, when developing a proposal, it is key that applicants keep in mind the potential to access future supplemental funds, such as SBIR or Small Business Technology Transfer (STTR) grants from other Federal agencies. Therefore, applicants may wish to partner with multiple stakeholders in order to maximize and leverage potential available funding. Ideally a competitive application would not only address the evaluation criteria set out under section IV.A. of this FFO from EDA's perspective, but also from the viewpoints of agencies partnering under this opportunity, including the EPA, DOE, USDA/NIFA, and NSF. Please see section II.B. of this FFO for more information on supplemental funding opportunities.

Through **i6 Green**, EDA can provide a wide range of technical, planning, and innovation infrastructure assistance through a Proof of Concept Center, including technology transfer and commercialization. Assistance can support the development of a strategy to alleviate economic dislocation or support strategy implementation projects, such as innovation infrastructure, entrepreneurial development support investments, and revolving loan funds (RLFs). Generally, costs that are allowable include salaries, supplies, and other expenses that are reasonable and necessary for the completion of the scope of work. Please note that funding provided under this competition will not support construction activities and generally may only support equipment purchases incidental to the total scope of work.

¹ While private sector entities, including investors, are crucial to the success of a Proof of Concept Center and EDA expects that partnerships will form to leverage all the resources a region has to offer, please note that EDA cannot provide funding directly or indirectly to for-profit entities. In addition, recipients must avoid the appearance of a conflict of interest and actual conflicts of interest, and must establish safeguards to prohibit recipient interested parties from receiving a direct or indirect financial benefit in connection with an award. See EDA's conflict of interest requirements as set out at 13 C.F.R. § 302.17.

b. *Economic Development, Regional Innovation Clusters, and Proof of Concept Centers*

Regional economic vitality is best accomplished through multi-stakeholder partnerships and collaborations that draw upon public, corporate, university, non-profit, and philanthropic resources. Regional innovation clusters, which share active commercial interaction channels, specialized infrastructure, labor markets, and services, often fuel these partnerships and collaborations. They are the regional building blocks of national competitiveness.

An emerging contributor to the establishment, growth, and success of regional innovation clusters is the Proof of Concept Center. Proof of Concept Centers, such as the Deshpande Center for Technological Innovation at the Massachusetts Institute of Technology (MIT) in Cambridge, Massachusetts and the William J. von Liebig Center at the University of California, San Diego, function at the heart of regional innovation clusters. Proof of Concept Centers serve as a hub of collaborative, innovative, and entrepreneurial activity. They incorporate a range of services in support of innovation-based, high growth entrepreneurship—from technology and market evaluation, through business planning and mentorship, and on to early stage access to capital.

Key services of a Proof of Concept Center include, but are not limited to:

- Facilitating and fostering the exchange of ideas between university innovators and industry;
- Incorporating mentors and industry catalysts that provide advisory services and link technology and researchers to external networks;
- Providing seed funding to support the commercialization of promising research;
- Assisting with market evaluation and business plan development;
- Supporting educational programs to prepare students and researchers for entrepreneurial challenges and work environments; and
- Holding special events to showcase technologies and entrepreneurs, promote the exchange of ideas, and formation of new collaboration.²

c. *Green Clean Tech Focus*

i6 Green will invest in the development, creation, or expansion of Proof of Concept Centers that accelerate technology-led economic development in pursuit of a vibrant, innovative clean economy. To be eligible under i6 Green, a proposed project must be focused on one or more of the following green project outputs:

- **Renewable Energy:** Projects that support the development, production, or use of energy derived from renewable resources that have smaller carbon footprints than hydrocarbon-based energy sources, including wind, solar, biomass, and geothermal energy.
- **Energy Efficiency:** Projects that support a reduction in the energy produced or the energy consumed for the same level of output with the goal of lowering energy costs.

² Christine A. Gulbranson and David B. Audretsch, *Proof of Concept Centers: Accelerating the Commercialization of University Research*, J. Technol.Transfer (2008) 33: 249—258.

- **Reuse/Recycling/Restoration:** Projects that support the reuse of a given product (or products), or produce a new or innovative product from recyclable materials. This may include technological advances in waste management practices that reduce raw material usage and the amount of waste that ends-up in landfills, as well as ecosystem restoration and other activities that protect and revitalize natural and cultural systems.
- **Innovations in Green Building Technology/Manufacturing:** Projects that facilitate technological advances, processes, and materials that minimize environmental and public health impacts of buildings over their lifecycles. This may include areas such as energy and water efficiency, materials, and indoor air quality. Projects that support manufacturing process innovations that utilize green technology and improve process efficiency while reducing pollution.

Please note that funds provided under **i6 Green** will not support construction activities, but may support projects that promote advances in green building technologies.

d. *i6 Green Examples*

The following are examples of regions and economic ecosystems that illustrate how the establishment of a green, innovation-focused Proof of Concept Center can become the catalyst for economic growth. Please note that these scenarios are informational only and are intended to provide applicants with a clearer picture of how **i6 Green** is intended to function. These examples in no way limit the range of potential proposed projects, combinations of eligible applicants, or anchoring organizations.

- **Scenario 1:** A region has a strong university and research-intensive industry that can be adapted to address renewable energy and/or efficiency based technologies, but lacks an entrepreneurial culture and the capital to spur start-up businesses and other activities. The university has an underfunded technology transfer office and has not collaborated extensively with local entrepreneurs or industry in the past on technology commercialization. However, it does encourage mentorship and has strong alumni networks. The university and a non-profit local economic development organization could partner to create an **i6 Green** Proof of Concept Center that develops and leverages university programs and strengths, builds partnerships with industry, and engages economic development officials and alumni to spur green technology-led economic development.
- **Scenario 2:** A region benefits from several community colleges and universities, a concentration of retired business executives and entrepreneurs, and a sizable small business community with a highly motivated labor force. Community economic development officials have been pursuing a plan to develop a “green economy” regional innovation cluster, but have not created an anchor institution to drive its implementation. A regional technology-based economic development organization could use an **i6 Green** award to expand its partnerships and services into a Proof of Concept Center that could become the driver, providing a central hub for the provision of numerous services and support systems.

- **Scenario 3:** A region faces the prospect of sustained high unemployment after the downsizing of a major, technology-based employer. Significant local human and physical resources exist, as does a regional research university with proactive leadership interested in contributing to regional economic development. The **i6 Green** Proof of Concept Center, catalyzed by a local economic development organization in partnership with community leaders and supported by a regional Angel group, could bring all the assets together, focusing on pushing new technologies to market and creating new jobs.

B. Program Authority

EDA's authorizing statute is the Public Works and Economic Development Act of 1965, as amended (42 U.S.C. § 3121 *et seq.*) (PWEDA). EDA is making **i6 Green** awards from the agency's Global Climate Change Mitigation Incentive Fund (GCCMIF), subject to the availability of funds. EDA typically receives Congressional direction to allocate an amount of funds otherwise made available for the Economic Development Assistance Programs authorized under PWEDA to the GCCMIF to support projects that foster economic competitiveness while enhancing environmental quality. In making i6 Green awards, EDA uses the authorities of its Economic Adjustment Assistance program, which is authorized under section 209 of PWEDA (42 U.S.C. § 3149). EDA's regulations at 13 C.F.R. parts 300–302 and subpart A of 13 C.F.R. part 307 set forth the general and specific regulatory requirements applicable to the Economic Adjustment Assistance Program. More information on the GCCMIF may be found on EDA's website at www.eda.gov. EDA's regulations and PWEDA are accessible on EDA's website at www.eda.gov/InvestmentsGrants/Lawsreg.xml.

II. Funding Availability and Award Information

A. EDA Funds and Project Period

For FY 2011, EDA will allocate a total of \$6,000,000 for **i6 Green**. EDA will make at least six awards of up to \$1,000,000, one in each of its six regions. EDA expects that the project period of each award will not exceed two years.

The project period and funding amounts referenced in this competitive solicitation are subject to the availability of funds and DOC and EDA priorities at the time of award. The DOC and EDA will not be held responsible for application preparation costs. Publication of this FFO does not obligate DOC or EDA to award any specific grant or cooperative agreement or to obligate all or any part of available funds. Although EDA expects to make grant awards, EDA may choose to make awards via cooperative agreements based on the anticipated amount of interaction between EDA and the recipient during the project period. EDA appropriations typically are available until expended.

B. Supplemental Awards and Assistance from i6 Green Federal Partners

1. Supplemental SBIR Funding

NSF, EPA, and USDA SBIR grantees that are part of or central to winning **i6 Green** applications may be eligible to receive a supplemental award from their respective SBIR funding agency. Applicants that incorporate active Phase II SBIR Grantees from NSF, EPA, or USDA that wish to be considered for supplemental SBIR funds must demonstrate how the active Phase II project integrates with the overall scope of the proposed i6 Green application. Additionally active Phase II grantees will need to provide the current SBIR grant award number in the i6 Green application. All costs proposed for supplemental SBIR funding must be eligible under the relevant SBIR program. All amounts are contingent upon the availability of funding.

a. NSF SBIR Grantees

NSF SBIR grantees (Phase II only) that are part of or central to winning **i6 Green** applications may be collectively eligible for a total of up to \$3,000,000 in supplemental awards from NSF, up to \$500,000 per EDA region. Each NSF SBIR grantee may not receive more than \$100,000 in supplemental awards from NSF. Please note that only an NSF SBIR grantee that has an active SBIR grant at the time the relevant i6 Green application is received by EDA is eligible for supplemental funding consideration. NSF will provide specific details about the supplemental awards directly to all its active SBIR Phase II grantees.

b. EPA SBIR Grantees

All EPA SBIR grantees (Phase II only) that are part of or central to winning **i6 Green** applications may be collectively eligible for a total of up to \$420,000 in supplemental awards from EPA. Each EPA SBIR grantee may not receive more than \$70,000 in supplemental awards from EPA. Please note that only an EPA SBIR grantee that has an active SBIR grant at the time the relevant i6 Green application is received by EDA is eligible for supplemental funding consideration. EPA will provide specific details about the supplemental awards directly to all of its active SBIR Phase II grantees.

c. USDA/NIFA SBIR Grantees

All USDA SBIR grantees (Phase II only) that are part of or central to winning **i6 Green** applications may be collectively eligible for a total of up to \$600,000 in supplemental awards from USDA. Each USDA SBIR grantee may not receive more than \$100,000 in supplemental awards from USDA. Only USDA SBIR grantees that have an active SBIR grant at the time of supplemental award, which is expected to be approximately September of 2011, are eligible.³ USDA will provide specific details about the supplemental awards directly to all its active SBIR Phase II grantees. To be considered for USDA's supplemental funds, the applicant must demonstrate clearly how the active Phase II project integrates with the overall scope of the i6 Green application. Also, the use of supplemental USDA/NIFA SBIR funds must adhere to the

³ USDA expects a no-cost extension, if necessary, to be in place before a request for supplemental award is submitted.

USDA’s “Content of proposals” regulation as set out at 7 CFR § 3403.6. USDA/NIFA supplemental SBIR funding is only available for scientific/technological research activities, and will not be provided for product development, technical assistance, demonstration projects, classified research, or patent applications.

2. EPA and DOE Supplemental Funding (Non-SBIR)

To leverage Federal resources in support of green-focused innovation, the EPA and DOE expect to partner with DOC to provide additional non-SBIR funding to support **i6 Green** and may provide additional funds to assist i6 Green recipients. To be considered for these additional funds, an i6 Green recipient must be selected by EPA and DOE as addressing certain core criteria as described below. The applicant must choose whether they wish to pursue these additional funds and clearly indicate such in the project narrative. In addition, an applicant that wishes to be considered for supplemental EPA and/or DOE funds must submit an additional budget form (Form SF-424A) and budget narrative specific to the proposed use of the EPA/DOE funds. All amounts are contingent upon the availability of funding.

a. Supplemental Funding from the Environmental Protection Agency

EPA has allocated \$280,000 that may be awarded as additional funding for one or more **i6 Green** recipients to encourage innovation in commercializing environmental technologies that address priorities in the water/energy nexus, water management, or innovative applications of materials for environmental improvement. i6 Green recipients will be evaluated based on eligibility and technical criteria as described below.

Eligibility for Supplemental EPA Funding

Applicants that wish to be considered for EPA funding must demonstrate:

- Innovation in the areas of Renewable Energy, Energy Efficiency, Reuse/Recycling/Restoration, and/or Green Building Technology (*see* section I.A.2.c. of this FFO).
- Alignment with the EPA mission to protect human health and the environment.

Technical Criteria for Supplemental EPA Funding

In addition to addressing **i6 Green** eligibility and evaluation criteria (described in sections III. and IV.A. of this FFO), i6 Green recipients may be eligible for additional EPA funding by addressing at least one of the following technical criteria in the context of a Proof of Concept Center:

- Systems approaches for promoting energy recovery, energy self-sufficiency, and conservation at the water/energy nexus. Illustrative examples include:
 - (i) Nonpoint source nutrient reduction through energy-efficient animal waste management and cost-effective options for energy recovery, potentially in combination with wastewater treatment biosolids;

- (ii) Innovative technologies for energy recovery to help achieve Net Zero energy use at wastewater treatment facilities;
 - (iii) Innovative energy conservation for drinking water and wastewater conveyance and treatment facilities; and
 - (iv) Integrated water resource management approaches including innovation in wastewater reclamation and re-use.
- Innovative, cost effective, and energy-efficient technologies and approaches for sustainable drinking and wastewater management. Illustrative examples include:
 - (i) Nutrient removal at wastewater facilities to limit of technology (LOT) concentrations;
 - (ii) Treatment (or prevention) of wastes from hydraulic fracturing used for natural gas extraction;
 - (iii) Innovative approaches to rehabilitation or replacement of water and wastewater infrastructure; and
 - (iv) Technologies and tools for green water infrastructure, to reduce the cost and impact of managing stormwater runoff.
- Innovative applications of new and emerging materials in environmental systems to reduce cost and improve performance. Illustrative examples include:
 - (i) Environmentally responsible recycling of electronic-waste, including recovering critical metals/materials used in renewable energy and energy efficiency; and
 - (ii) Environmentally responsible applications of nanotechnology to improve how we measure, monitor, manage, and reduce contaminants in the environment.

In addition, under this FFO, in order to receive the EPA portion of funding, applicants must demonstrate a matching share of at least 50% of the EPA funding, which must be available and committed to the project from non-Federal sources. EPA will give preference to applications with higher matching shares to further leverage Federal funds and help ensure additional project impact. The matching share requirement may be met through in-kind contributions, consisting of contributions of space, equipment, or services.

EPA expects that supplemental awards to an **i6 Green** recipient will range from \$70,000 to \$140,000. If an applicant wishes to be considered for EPA's supplemental funds, the applicant should submit an additional budget form (Form SF-424A) and a budget narrative specific to this additional amount. It is expected that EPA funding will be incorporated under the EDA award to the i6 Green recipient.

b. *Supplemental Funding from the U.S. Department of Energy*

The Office of Energy Efficiency and Renewable Energy (EERE) at the DOE anticipates allocating \$2,000,000 that may be awarded as additional funding for **i6 Green** recipients to encourage innovation in energy efficiency and renewable energy. i6 Green recipients will be evaluated based on eligibility and program policy factors as described below.

Eligibility for Supplemental DOE EERE Funding

Applicants that wish to be considered for EERE funding must demonstrate:

- Innovation in the areas of Renewable Energy, Energy Efficiency, Reuse/Recycling/Restoration, and or/ Green Building Technology *see* section I.A.2.c. of this FFO).
- Alignment with the EERE mission statement: The Office of Energy Efficiency and Renewable Energy works to strengthen the United States' energy security, environmental quality, and economic vitality in public-private partnerships. It supports this goal through:
 - (i) Enhancing energy efficiency and productivity;
 - (ii) Bringing clean, reliable and affordable energy technologies to the marketplace; and
 - (iii) Making a difference in the everyday lives of Americans by enhancing their energy choices and their quality of life.
- A Federally Funded Research and Development Center (FFRDC) contractor may not be a recipient of an award under **i6 Green**, but may be proposed as a partner or team member of an i6 Green recipient subject to the following guidelines:
 - (i) Authorization from the cognizant contracting officer for a non-DOE FFRDC contractor on the proposed project is required, and this authorization must be submitted with any application proposing a non-DOE FFRDC contractor. The use of an FFRDC contractor must be consistent with the contractor's authority under its award and must not place the FFRDC contractor in direct competition with the private sector.
 - (ii) Authorization for DOE or National Nuclear Security Administration (NNSA) FFRDCs. The cognizant contracting officer for the FFRDC must authorize in writing the use of a DOE/NNSA FFRDC contractor on the proposed project and this authorization must be submitted with the application. The following wording is acceptable for this authorization.

Authorization is granted for the **[Name]** Laboratory to participate in the proposed project. The work proposed for the Laboratory is consistent with or complementary to the missions of the Laboratory, will not adversely impact execution of the DOE/NNSA assigned programs at the Laboratory, and will not place the Laboratory in direct competition with the domestic private sector.

Program Policy Factors for Supplemental DOE EERE Funding

The EERE selection official will consider the following program policy factors in the selection process:

- Extent to which the proposed concept involves innovative or transformative approaches based on an understanding of the role and best practices of a Proof of Concept Center;
- Extent to which the proposed model promotes sustained movement of clean energy technologies into the marketplace beyond the project period;
- Diversity, among **i6 Green** recipients, of approaches and methods within EERE's overall innovation program;
- Complementary efforts or projects within EERE's overall innovation program, which, when taken together, will best achieve the goals and objectives of i6 Green; and
- Diversity in the types or sizes of organizations within EERE's overall innovation program to provide a balanced programmatic effort and a variety of different technical perspectives.

DOE expects that supplemental awards to an **i6 Green** recipient will range from \$150,000 to \$300,000 for FYs 2011 and FY 2012. If an applicant wishes to be considered for DOE's supplemental funds, the applicant should submit an additional budget form (Form SF-424A) and a budget narrative specific to this additional amount for the two year project period.⁴ DOE may make awards to any number of i6 Green recipients, up to one supplemental award per EDA region. It is expected that any DOE award will be incorporated under the EDA award to the i6 Green recipient.

3. Technical Assistance from USPTO

The U.S. Patent and Trademark Office (USPTO) will provide customized intellectual property seminars to entrepreneurs and innovators associated with winning applicants. In addition, entrepreneurs and innovators associated with **i6 Green** recipients will be eligible for special recognition at the annual Independent Inventors Conference, co-hosted by USPTO and the National Inventors Hall of Fame.

4. Technical Assistance from NIST MEP Centers

The Department of Commerce's National Institute of Standards and Technology (NIST) manages the Hollings Manufacturing Extension Partnership (MEP), a nationwide network of locally managed extension centers whose purpose is to provide training, tools, and connections to small- and medium-sized manufacturers to accelerate innovation; leading to new opportunities in domestic and export markets. MEP centers have existing relationships with clients looking for growth opportunities incorporating the use of new technologies. These manufacturing clients provide a "demand-pull" opportunity for new technologies into the commercial marketplace that can accelerate technology transfer and Proof of Concept center efforts within existing companies to support the green project definitions provided in this announcement. Specific support services and expertise offered by MEP Centers to small- and medium-sized manufacturers that are integral to the needs of companies include, but are not limited to, the following:

⁴ DOE expects to make supplemental awards for a two year project period; however, DOE may make a longer- or shorter-term award at its discretion.

MEP Industrial/Engineering-Related Support:

- Prototype development support;
- Lean product development (LPD);
- Form and function – fit to final specifications/platform;
- Quality Management System (QMS);
- Lean processes;
- Design for manufacture—manufacturability readiness; and
- Manufacturing systems—design of manufacture processes and systems.

MEP Commercialization Assistance/Growth Expertise:

- Innovation and Business Ideation;
- Marketing information;
- Size and characteristics of market;
- Needs/expectations/buyer behavior;
- Channels to market and export readiness;
- Required product or process certifications; and
- Pricing, promotion/message, positioning.

Applicants should involve their local MEP center, given the center’s specific capabilities, as a major partner in the proposed Proof of Concept Center. The local MEP partner can be identified by either calling 1-800-MEP-4-MFG (1-800-637-4634) or through the NIST MEP website at www.nist.gov/mep.

III. Eligibility Requirements**A. Applicant Eligibility**

Pursuant to PWEDA and as defined in EDA’s regulation at 13 C.F.R. § 300.3, only the following types of entities are eligible to receive funding assistance from EDA:

1. District Organization (as defined in 13 C.F.R. § 304.2);
2. Indian Tribe or a consortium of Indian Tribes;
3. State, city, or other political subdivision of a State, including a special purpose unit of a State or local government engaged in economic or infrastructure development activities, or a consortium of political subdivisions;
4. Institution of higher education or a consortium of institutions of higher education; or
5. Public or private non-profit organization or association acting in cooperation with officials of a political subdivision of a State.⁵

See section 3 of PWEDA (42 U.S.C. § 3122) and 13 C.F.R. § 300.3.

⁵ For projects of significant regional scope, EDA may consider waiving the requirement that a non-profit organization demonstrate it is acting in cooperation with officials of a political subdivision of a State. *See* 13 C.F.R. §§ 301.2(b) and 307.5(b).

The eligibility of the organization will be determined by its articles of incorporation, enabling legislation, or by State and local laws applicable to the formation of the organization. An applicant applying as a consortium must be: (1) formed in accordance with any relevant State or local law and as an entity to which EDA can make a grant, generally as a non-profit organization working with a political subdivision of a State; or (2) comprised exclusively of eligible applicants who apply as co-applicants for the project.⁶ If a consortium is not structured as a legal entity independently eligible for funding, the consortium cannot be considered an applicant, but still can function as part of a project under a specific eligible applicant with the remaining eligible organizations serving as co-applicants. Please contact EDA with any questions and work closely with necessary authorities to determine whether any relevant State or local laws apply.

EDA cannot provide grants directly or indirectly to individuals or to for-profit entities. However, as noted above, supplemental SBIR funds provided through the NSF, EPA, and USDA/NIFA may be available to for-profit entities that are existing SBIR grantees (Phase II only) and are part of or central to the scope of work of winning applications. *See* section II.B. of this FFO for information on additional funding opportunities.

B. Regional Eligibility

EDA can only fund proposals that are located in an area that, on the date of application, meets one (or more) of the following economic distress criteria:

1. An unemployment rate that is, for the most recent 24-month period for which data are available, at least one percentage point greater than the national average unemployment rate;
2. Per capita income that is, for the most recent period for which data are available, 80 percent or less of the national average per capita income; or
3. Has a “Special Need,” as determined by EDA pursuant to 13 C.F.R. § 301.3(a)(1)(iii).

The following examples help to explain what may constitute a “Special Need” (as defined in 13 C.F.R. § 300.3):

1. Closure or restructuring of industrial firms or loss of a major employer essential to the area’s economy.
2. Substantial out-migration or population loss.
3. Underemployment, meaning employment of workers at less than full-time or at less skilled tasks than their training or abilities permit.

⁶ In general, an application submitted by co-applicants should detail each co-applicant’s responsibilities up front and provide for a lead applicant that is responsible for all administrative purposes, including managing award finances and communicating with the granting agency. Note that each co-applicant is individually responsible for performing the scope of work and complying with all statutory, regulatory, and cost principle requirements applicable to an award. Please also see section V.B. of this FFO, which details application requirements, including those for co-applicants.

4. Military base closures or realignments, defense contractor reductions-in-force, or Department of Energy defense-related funding reductions.
5. Natural or other major disasters or emergencies, including terrorist attacks.
6. Extraordinary depletion of natural resources or other impact attributable to a new or revised Federal regulation or policy that will have a significant impact on a community to avoid an extraordinary depletion of natural resources.
7. Communities undergoing transition of their economic base as a result of changing trade patterns.
8. Regions with a weak or deficient innovation ecosystem that is impeding technology commercialization or creation of new businesses and jobs in the region.
9. Other Special Need. The area is experiencing other special or extraordinary economic adjustment needs, as determined by the Assistant Secretary of Commerce for Economic Development.

For eligibility based on Special Need, the applicant must present appropriate and compelling economic, demographic, or other applicable third-party statistics to demonstrate the Special Need.

C. Cost Sharing or Matching Share Requirement

Under this FFO, applicants must demonstrate at the time of application a matching share of at least \$500,000, which must be available and committed to the project from non-Federal sources. EDA will give preference to applications with higher matching shares to further leverage Federal funds and help ensure additional project impact. Generally, the amount of an EDA grant may not exceed 50 percent of the total cost of the project. Projects may receive up to 80 percent of total costs, based on the relative needs of the region in which the project will be located, as determined by EDA. *See* section 204(a) of PWEDA (42 U.S.C. § 3144) and 13 C.F.R. § 301.4(b)(1).

The matching share requirement may be met through in-kind contributions, consisting of contributions of space, equipment, or services or forgiveness or assumptions of debt. *See* section 204(b) of PWEDA (42 U.S.C. § 3144). EDA will fairly evaluate all in-kind contributions, which must be eligible project costs, verifiable through audit, and meet applicable Federal cost principles and uniform administrative requirements. Please note that because EDA funds cannot be used as venture capital or as an equity investment, the matching share may not include venture capital or equity. **At the time of application, applicants must provide matching share commitment letters to demonstrate that the matching share is committed to the project for the project period, will be available as needed, and is not conditioned or encumbered in any way that precludes its use consistent with the requirements of EDA investment assistance.** *See* 13 C.F.R. § 301.5.

Please also see section II.B.2.a. of this FFO for information on matching requirements for supplemental EPA funds. If you have questions about matching requirements or any aspect of the competition, please contact the appropriate regional contact listed in section VIII. of this FFO.

D. Nonrelocation

Applicants are advised that should an application be selected for award, the recipient will be required to adhere to a special award condition relating to EDA's nonrelocation policy as follows:

In signing this award of financial assistance, Recipient(s) attests that EDA funding is not intended by the Recipient to assist its efforts to induce the relocation of existing jobs that are located outside of its jurisdiction to within its jurisdiction in competition with other jurisdictions for those same jobs. In the event that EDA determines that its assistance was used for those purposes, EDA retains the right to pursue appropriate enforcement action in accord with the Standard Terms and Conditions of the Award, including suspension of disbursements and termination of the award for convenience or cause.

For purposes of ensuring that EDA assistance will not be used to merely transfer jobs from one location in the United States to another, each applicant must inform EDA of all employers that would constitute primary beneficiaries of their proposed project. EDA will consider an employer to be a "primary beneficiary" if the applicant estimates that such employer will create or save 100 or more permanent jobs as a result of the investment assistance, provided that such employer also is specifically named in the application as benefiting from the project, or is or will be located in an EDA-assisted building, port, facility, or industrial, commercial, or business park constructed or improved in whole or in part with assistance prior to EDA's final disbursement of funds. In smaller communities, EDA may extend this policy to the relocation of 50 or more jobs. A for-profit entity that is partnering with a recipient may be considered a beneficiary if the entity estimates it will create or save the requisite number of jobs.

IV. Application Review Information

A. Merit Evaluation Criteria

Review panels, convened pursuant to section IV.B. of this FFO, will evaluate applications based on the following criteria, which will be weighted equally:

1. Concept

Applications will be evaluated based on their plan to effectively use the services of a Proof of Concept Center as described in section I.A.2. of this FFO ("i6 Green Program Information") to address their regional commercialization needs towards a green economy. This will be evaluated to the extent an application demonstrates:

- A clear understanding of a real or persistent problem or an unaddressed opportunity, its urgency, and the ability of the proposed Proof of Concept Center model to solve the problem or capitalize on the opportunity;
- Creative or even potentially transformative models or solutions based on an understanding of the role, benefit, and best practices of a Proof of Concept Center;

- A clear understanding of the challenges facing the region’s entrepreneurs and innovators; and
- A ‘roadmap’ for how the proposed Proof of Concept Center would fill the gaps in the research-to-commercialization continuum and eliminate obstacles to commercialization.

2. Feasibility of Implementation

Applications must show that establishing or enhancing the capabilities of a Proof of Concept Center and its accompanying features (as described in section I.A.2. of this FFO (“i6 Green Program Information”)) is a likely outcome from **i6 Green** funding. Moreover, the application should present a clear, specific, and realistic approach to accelerating the movement of clean economy technologies to the marketplace, including technologies to advance renewable energy, energy efficiency, reuse and recycling, and green buildings. An application will be evaluated to the extent it demonstrates:

- A coherent plan to leverage regional strengths, mitigate regional weaknesses, and capitalize on strategic opportunities and resources while minimizing short- and long-term challenges;
- A sound strategy to support entrepreneurs and innovators at appropriate phase(s) of the process, such as assessments of commercialization potential, patenting, licensing, venture formation, financing, and marketing;
- A reasoned discussion of an intellectual property strategy appropriate for protecting the core creative and technological attributes of employees, organizations, existing companies, and new venture formations that will utilize the services of the Proof of Concept Center;
- Adequacy of the proposed schedule and budget, including the extent to which appropriate targets, metrics, and milestones are clearly defined;
- Adequacy of the plan to measure progress toward targets and the likelihood that metrics and milestones will be met;
- Extent to which challenges and risks are identified and mitigation strategies are proposed; and
- Adequacy of the proposed organization and management plan to achieve the project goals.

3. Impact

Applications must demonstrate the job creation impact of the proposed Proof of Concept Center and will be evaluated to the extent that the application identifies and explains:

- Quantifiable benefits that go beyond the applicant and benefit the regional economy;
- The extent to which infrastructure for commercialization and enterprise formation will be enhanced; and
- A clear understanding of how the model or solution could be replicated elsewhere.

4. Personnel Qualifications and Resources

Applications will be evaluated in terms of the qualifications of the team, participating organizations, key personnel, and other proposed resources, including:

- Qualified personnel that, as a group, demonstrate project management expertise, as well as demonstrated success in protecting, licensing, and commercializing intellectual property;
- The education, experience, and accomplishments of key personnel;
- Adequacy of the applicant's team to carry out the proposed work and achieve success;
- Previous performance of the organizations making up the team, as applicable;
- Quality of the partnerships and extent of partnership commitments;
- Appropriateness, quality, and availability of any facilities, materials and resources to be used in implementing the proposed plan; and
- Access to venture capital or angel financing for promising entrepreneurs.⁷

5. Long-term Growth Plan

Applications will be evaluated on the applicant organization's plan for sustaining success of the Proof of Concept Center beyond the period of Federal funding, including:

- Adequate financial resources to ensure robust institutional capacity, as well as access to capital for early stage, potentially high-growth firms;
- Strong potential to become self-sustaining, even without significant future Federal funding; and
- Long-term, broad, and deep commitment from private and public sector leaders throughout the region, and strong participation and buy-in from stakeholders.

All applicants are expected to provide a clear and detailed explanation as to how the proposed project will meet the **i6 Green** evaluation criteria. EDA will consider applications that include such an explanation with supporting data, including performance measures and deliverables, as applicable, more competitive than those that do not.

B. Review and selection process

Throughout the review and selection process, EDA reserves the right to seek clarification in writing from applicants whose applications are being reviewed and considered. Applicants may be asked to modify objectives, work plans, budgets, or other specifics necessary to comply

⁷ Please note that for the purposes of establishing eligible costs to be supported by grant funds (Federal share plus matching share) under an i6 Green award, applicants may not include costs related to venture capital activities. EDA grant funds cannot be used for such purposes. However, EDA will evaluate favorably applications that include the use of venture capital to support innovative entrepreneurs as part of other activities that operate as a separate cost center and are not supported directly or indirectly by the EDA-provided funds. Although not part of the EDA-funded scope of work, applicants that incorporate venture capital aspects should specify how and to what types of entities venture capital will be provided.

with Federal requirements and provide supplemental information required by the agency before award.

1. First-Level Responsiveness Reviews

EDA will convene a panel of Federal employees in each of its regional offices to conduct a responsiveness review of each application submitted within that region. Applications from applicants that are ineligible for EDA funding will not receive further review. Applications that do not contain all forms and required documentation listed in section V. of this FFO may be deemed non-responsive and excluded from further consideration. EDA expects all applications to be complete and include all required forms and documentation. All timely and otherwise substantive applications from applicants eligible for EDA funding will be forwarded for further review to the Joint Selection Committee (defined below), notwithstanding that they may contain minor, non-substantive technical deficiencies.

In addition, the responsiveness review shall include a statutory and regulatory compliance assessment for each responsive application and an initial merit review under the evaluation criteria set out in section IV.A. of this FFO, both of which will be conducted by regional office staff and forwarded to the Joint Selection Committee. As a result of these reviews, the regional office panels will rate and rank the top ten applications in each region (or all applications if fewer than ten are received) and indicate these top applications to the Joint Selection Committee.

2. Joint Selection Committee Review

Upon completion of the responsiveness review, a Joint Selection Committee that will be composed of senior officials from DOC and other Federal agencies including EPA, DOE, USDA, and NSF, will review the findings and recommendations of the EDA responsiveness review panels. The Joint Selection Committee expects that it will evaluate the top ten applications as ranked by the responsiveness review panels, but, at the Committee's discretion, may evaluate other applications. Then the Joint Selection Committee will either (i) rank the top five applications in each region (or all of the applications in a region if there are fewer than five) and forward this ranked list to the NSF peer review panels (defined below), or (ii) identify any deficiencies in the review process and convene a new EDA responsiveness review panel in the applicable region(s) to restart the selection process in those region(s). If directed by the Joint Selection Committee to re-evaluate the applications in a particular region, a new EDA review panel will perform a responsiveness review and indicate the top ten applications in the region with new findings and recommendations to the Selection Committee.

3. Merit Review by NSF Peer Review Panels

The top five applications from each region as selected by the Joint Selection Committee will be subject to external peer review by NSF. NSF will convene panels of external peer reviewers to discuss the merits and shortcomings of each application, using the evaluation criteria in section IV.A. of this FFO. Applications will be reviewed in a fair, competitive, and in-depth manner pursuant to NSF peer review policies and guidelines set forth at www.nsf.gov/bfa/dias/policy/meritreview. The peer review panels will summarize and make

recommendations to be presented to the Joint Selection Committee for discussion and consideration. The Joint Selection Committee may revise its application rankings based on the recommendations of the NSF Peer Review Panels.

C. Selecting Official and Policy Factors

Once the Joint Selection Committee has reviewed the recommendations of the NSF peer review panels, the Committee will forward its recommendations to the Regional Director in each EDA region, who will be the Selecting Official for the award to be made within the applicable region. The Selecting Officials may follow the recommendations of the Joint Selection Committee; however, each Selecting Official retains the discretion not to make a selection in his region, or to select an application out of order in his region for any of the following reasons:

1. Availability of program funding;
2. A determination that the application better meets the overall objectives of section 2 and 209 of PWEDA (42 U.S.C. §§ 3121 and 3149);
3. The applicant's non-compliance with statutory and regulatory requirements, including PWEDA, EDA's regulations set out at 13 C.F.R. chapter III, and DOC regulations set out at 15 C.F.R. parts 14 or 24, as applicable, or
4. The applicant's performance under previous Federal financial assistance awards.

If the Selecting Official makes a selection out of order, the Selecting Official will document the rationale for the decision in writing.

Each Selecting Official will submit his decision to EDA headquarters for review before making the final selection. Once winning **i6 Green** recipients have been selected, the selecting officials from DOE and EPA review the winning applications to determine the amount of any supplemental funds awarded in accordance with section II.B.2. of this FFO. The expectation is that i6 Green awards and supplemental awards will be announced simultaneously.

V. Application and Submission Information

A. Letter of Intent to Apply Due by May 2, 2011 (Mandatory)

To be eligible to be considered for an **i6 Green** award, applicants **must** email a letter of intent to i6@eda.doc.gov no later than 11:59 p.m. Eastern Time on May 2, 2011. The letter must be signed by an authorized representative of the applicant and should be included as an email attachment in Adobe portable document format (PDF) (preferred) or Microsoft Word format. Letters of intent should not exceed two double-spaced pages (at least 11 point font) Letters of intent are critical as EDA manages the i6 Green process and are not intended to be burdensome.

In the letter, applicants should describe how **i6 Green** funding will be used, identifying any co-applicants and partners and outlining the proposed scope of work and budget, including proposed use of supplemental funding from i6 Green Federal partner agencies, as applicable. The letter should provide information on how the proposed Proof of Concept Center will increase the commercialization potential of regional green technology. Finally, please indicate whether the applicant and any proposed co-applicant currently is receiving funding for economic

development, technology transfer, commercialization, innovation, or any related purpose from any of the i6 Green Federal partner agencies: EDA, EPA, DOE, USDA/NIFA, or NSF. Failure to timely submit a letter of intent as described above **will eliminate** an applicant from consideration. EDA, in its sole discretion, will determine whether a letter of intent is adequate.

Note that the applicant's complete application should be consistent with the proposed scope of work and budget presented in the letter of intent.

The letter of intent must be received by EDA no later than 11:59 p.m. Eastern Time on May 2, 2011. The time stamp on the email as received by EDA will be considered the time and date of submission. EDA is not responsible for features of applicant systems, such as security and file size constraints, that may delay EDA's receipt of email. Please also note that a copy of the letter of intent as submitted and the email transmitting it should be uploaded as an attachment in the complete application.

EDA strongly encourages applicants to register with www.grants.gov and ensure their organizational status as early as possible. The date when letters of intent are due may be a good time for applicants to visit www.grants.gov to ensure they are properly registered and have designated one or more Authorized Organizational Representatives (AORs) with authority to submit the application. Please note that www.grants.gov registration requires that all applicants use the Dun and Bradstreet Universal Numbering System and Central Contractor Registration (CCR) system. This requires that all applicants obtain and maintain a DUNS number and their CCR registration. Applicants may visit www.grants.gov at http://www.grants.gov/applicants/organization_registration.jsp to learn more about the registration process. Also, see section V.D. of this FFO for more information on www.grants.gov registration requirements. In addition, as noted in section III.A. of this FFO, applicants, including applicants that are formed as consortia, are responsible for ensuring they are organized correctly according to any applicable State or local laws to be considered eligible by EDA. Applicants should work with necessary State and local authorities to ensure they are formed in accordance with relevant laws. Applicants are solely responsible for ensuring their applications are received by EDA through www.grants.gov.

B. Required Application Forms and Documentation

Important: Please refer to important information in section V.D. of this FFO to help ensure your application is timely received by EDA.

All applicants are required to submit the following forms **at the time of application**:

- One Form SF-424 (*Application for Federal Assistance*) from each co-applicant, if applicable
- Form SF-424A (*Budget Information—Non-Construction Programs*) (note that if an applicant wishes to be considered for EPA and/or DOE supplemental funding, the applicant must submit an additional Form SF-424A specific to the use of supplemental funding from each agency. See section II.B.2. of this FFO for more information).

- One Form SF-424B (*Assurances—Non-Construction Programs*) from each co-applicant, if applicable
- One Form CD-511 (*Certification Regarding Lobbying*) from each co-applicant, if applicable
- Form ED-900 (*EDA Application for Investment Assistance*). The applicant should disregard the statement in the “Note on EDA’s Application Process” that advises applicants that EDA will request the listed materials only after a project has been determined to “merit further consideration.” All materials listed in this FFO must be submitted at the time of application, and in electronic form, unless otherwise specified. In addition, the following special instructions apply:
 - Questions A.2, A.4, and A.6. Please enter ‘See Project Narrative.’
 - Question E.3. Please enter ‘See Biographies of Key Individuals.’
 - Section K. Select ‘no’ in response to the question ‘Are you applying for a Strategy Grant under 13 C.F.R. § 307.3?’
 - Section M. Select ‘no’ in response to the question ‘Are you applying for Construction Assistance?’
 - Section N. Select ‘no’ in response to the question ‘Is the primary purpose of the EDA investment to accomplish only the design and engineering work required?’
 - Exhibit C. Each co-applicant must submit Exhibit C. To submit additional copies of Exhibit C, please print out Exhibit C, complete it, and upload it as an attachment to the application package.

The following information already is requested under Forms SF-424, SF-424A, and ED-900. For clarity and a coherent application, all of the following should be contained in one Adobe PDF file and submitted as an attachment on www.grants.gov at the time of application:

- Project Narrative. The project narrative must be no more than twenty double-spaced pages (at least 11 point font). It must describe a scope of work that does not exceed a two-year project period and must include the following items:⁸
 - Executive summary;
 - Detailed description of the proposed idea;
 - Detailed description of the role of each applicant or co-applicant;
 - Description of how the proposed idea meets the evaluation criteria (see section IV.A. of this FFO);
 - Project plan and milestones, including the entrepreneurial support and intellectual property strategies described in section IV.A.2. of this FFO and the replication description described in section IV.A.3.;
 - Proposed performance metrics and targets; and
 - A long-term growth plan.

⁸ Although EDA does not expect project periods to exceed two years, EDA may make a longer term award at its sole discretion.

In addition, if the applicant wishes to be considered for supplemental EPA and/or DOE funding, the applicant must clearly specify how the proposed project meets EPA and/or DOE criteria and provide any required supplemental information. *See* section II.B.2. of this FFO for complete information.

- Biographies of Key Individuals (not to exceed a half page each) for each applicant and co-applicant. Applicants must submit the biographies of individuals who are involved in the creation of and critical to the success of the proposal.
- Matching Share Commitment Letters (not to exceed one page each) for each applicant and co-applicant. Each letter should include a short description of the individual or entity providing the matching share, or a portion thereof.
- Project Support Commitment Letters from partner(s) pledging support to the proposed project (not to exceed one page each). Each letter should include a short description of the partner and the nature of the partnership.
- Budget Narrative. The budget narrative must describe and discuss each budget line item over the entire two-year project period. In addition, if the applicant wishes to be considered for supplemental EPA and/or DOE funding, the applicant must submit a budget narrative(s) specific the additional amount(s).
- Facilities and Administrative Cost Rate Agreement for each applicant and co-applicant. **If and only if** facilities and administrative costs (sometimes referred to as indirect costs) are included in the budget, the applicant must include a copy of its current Facilities and Administrative Cost Rate Agreement or documentation that the applicant is applying for a Facilities and Administrative Cost Rate Agreement. Applicants that do not have a current Facilities and Administrative Cost Rate agreement negotiated and approved by the DOC (or by the applicable cognizant Federal agency) may propose facilities and administrative costs in their budget. However, the applicant must prepare and submit a facilities and administrative cost allocation plan and rate proposal or a negotiated indirect cost rate as required by 2 C.F.R. part 220, “*Cost Principles for Educational Institutions (OMB Circular A–21)*” or 2 C.F.R. part 230, “*Cost Principles for Non-Profit Organizations (OMB Circular A–122)*,” as applicable. The allocation plan and the rate proposal must be submitted to DOC’s Office of Acquisition Management (or applicable cognizant Federal agency) within ninety days from the award start date.
- Personnel/Staffing Plan for each applicant and co-applicant. Applicants must submit a personnel plan listing all positions that will be charged to the Federal and non-Federal portion of the budget for each year of the two-year project period. The personnel plan must include the names, position titles, salaries, percentage of time dedicated to the project, and amount of salary charged to the project for each staff member assigned to the project. The sum of all salaries charged to the project must equal the amount on the “Personnel” budget line-item (or the sum of all Personnel budget line items if the applicant wishes to be considered for supplemental EPA

and/or DOE funding). The personnel plan should provide a description of how the personnel will carry out the proposed plan, including the adequacy and previous performance of the proposed team to carry out the scope of work.

- Projects must be consistent with the region's Comprehensive Economic Development Strategy (CEDS) or alternate EDA-approved strategic planning document. *See* section A.3. of Form ED-900, which requires applicants to identify the relevant plan. If EDA does not already have the applicable plan, the applicant may be required to provide it. If you have questions regarding this requirement, contact the appropriate regional contact listed in section VIII. of this FFO.
- Timely Letter of Intent. The applicant should include a scanned copy of the applicant's letter of intent submitted in accordance with section V.A. of this FFO and the email transmitting it.

In addition, applicants may be required to provide certain lobbying information using Form SF-LLL (*Disclosure of Lobbying Activities*). Form ED-900 provided detailed guidance to help assess whether Form SF-LLL is required and how to access it. Please note that, if applicable, one Form SF-LLL must be submitted for each co-applicant that has used or plans to use non-Federal funds for lobbying in connection with this competition. All non-profit applicants and applicants that are first time recipients of EDA or DOC funding are required to provide required individual background screening forms (Form CD-346) for a complete application, but please note that EDA may require other applicants to submit Form CD-346 to comply with DOC requirements. EDA will inform applicants if this is required.

Finally, **non-profit applicants also must submit the following**, in addition to all items listed above:

- A certificate of good standing from the State of its incorporation.
- A copy of the organization's Articles of Incorporation and By-Laws.
- Resolution (or letter) from a general purpose subdivision of government of a State, acknowledging that the organization is acting in cooperation with officials of that unit of government.⁹
- Form CD-346 (*Applicant for Funding Assistance*) for each key individual of the non-profit, which includes the executive director, project manager, chief financial manager, and any other person or entity who has authority to speak for and/or commit the organization in the management of an award and/or expend funds. A revised Form CD-346 may be accessed on the DOC website at http://ocio.os.doc.gov/s/groups/public/@doc/@os/@ocio/@oitpp/documents/content/ev01_002454.pdf.

⁹ For projects of significant regional or national scope, EDA may waive the requirement that a non-profit organization demonstrate it is acting in cooperation with officials of a political subdivision of a State. See 13 C.F.R. §§ 301.2(b) and 307.5(b).

C. Deadline for Submission of Applications is May 26, 2011¹⁰

The deadline for submission of applications is 11:59 p.m. Eastern Time on May 26, 2011. The www.grants.gov time stamp will be considered the date and time of submission. *Applications received after the deadline will not be considered for funding.*

Applicants are advised to start early and not to wait until the approaching deadline before logging on and reviewing the instructions for submitting an application through www.grants.gov. Applicants should save and print written proof of an electronic submission made at www.grants.gov. Please see section V.D. of this FFO below for more information on submitting through www.grants.gov.

D. Obtaining an Application and Submission Requirements

Applicants may access the application package for this competitive solicitation and submit completed applications **ONLY** electronically through www.grants.gov.¹¹

Applications must be transmitted electronically via www.grants.gov and received by EDA by 11:59 p.m. Eastern Time on May 26, 2011. Your electronic submission will receive a date and time stamp at www.grants.gov and be processed after it is fully uploaded. The time it takes to completely upload an application will vary depending on a number of factors, including the size of the application, the speed of your Internet connection, and the time it takes www.grants.gov to process the application. If www.grants.gov rejects your application, you will need to resubmit successfully before 11:59 p.m. Eastern Time on May 26, 2011. The www.grants.gov time stamp will be considered the date and time of submission receipt.

Register early and submit early. In order to submit an application through www.grants.gov, applicants first must register for a www.grants.gov user ID and password. Note that this process can take between three to five business days or as long as four weeks if all steps are not completed correctly. To avoid delays, EDA *strongly recommends* that applicants start early and not wait until the approaching deadline date before logging on, registering, reviewing the application instructions, and applying. Information about the www.grants.gov registration process for organizations can be found at http://grants.gov/applicants/organization_registration.jsp.

AOR requirement. Applicants must register as organizations, not as individuals. As part of the registration process, you will be required to register at least one Authorized Organizational Representative (AOR) for your organization. AORs registered at www.grants.gov are the only officials with the authority to submit applications at www.grants.gov, so please ensure that your organization's application is submitted by an AOR. If the application is submitted by anyone

¹⁰ Please note that a letter of intent must be received by EDA by May 2, 2011 for an applicant to be considered for funding. Failure to timely submit a letter of intent **will eliminate** an applicant from consideration. Please see section V.A. of this FFO for information on what is required in a letter of intent.

¹¹ Applicants may **only** submit their applications via email in case of a www.grants.gov systems issue as described in section V.D. of this FFO.

other than your organization's AOR, it will be rejected and cannot be considered for the competition. Note that a given organization may designate multiple individuals as AORs for www.grants.gov purposes.

Before beginning the application process through www.grants.gov, please review fully the application instructions for this funding opportunity at www.grants.gov and in this FFO. The following instructions will allow applicants to access step-by-step instructions for accessing, completing, and submitting an application at www.grants.gov. You can access the FFO and instructions as follows:

1. Ensure that you have installed Adobe Acrobat Reader 8.1.3 on your computer, as other (older or newer) versions of Adobe Acrobat Reader may cause errors.
2. Go to www.grants.gov.
3. Select "Apply for Grants" from the left-hand menu.
4. Select "Download a Grant Application."
5. Enter "I6GREENEDA031011" as the Funding Opportunity Number and click on "Download Package."
6. Click on the "download" link under "Instructions and Applications" and a new window should pop up. In the new window, click on "Download Application Instructions" to review the instructions posted on www.grants.gov and "Download Application Package" when you are ready to begin the application.

Field limitations and special characters. Please be advised that www.grants.gov provides the following notice with respect to form field limitations and special characters:

What kind of information can be entered into form fields within my application?

Grants.gov application packages offer fields to enter a set amount of data. When the limit is reached for a certain field, you will no longer be able to enter data into that field. For every form, there are different limitations to the data that you are allowed to enter (this varies between agency and form). Refer to the agency instructions available for download with the application package for more detail.

Do not use special characters (example: &,-,,%,/,#) within the application form fields including periods (.), blank spaces and accent marks; an underscore may be used. Please note that if these guidelines are not followed, your application may be rejected.*

In EDA's experience, use of apostrophes (') in file names and fillable fields of required forms has resulted in issues. Accordingly, please apply early and periodically check the status of your application to make sure it has been validated, and use file naming conventions that do not negatively affect your application submission.

If a response exceeds the field limit requirements of any form, including Form ED-900, the applicant is advised to include the response as an attachment to the application. The applicant should move 'Attachments' to the 'Optional Documents for Submission' box in the application package, clearly indicate in the form field that the information is included as an attachment (e.g., "see Attachment A.1." or "see Attachment A.3."), and upload the information

as an electronic file. Please see www.grants.gov's "Submit Application FAQs" at http://www.grants.gov/applicants/submit_application_faqs.jsp for more information.

Verify submission was successful. Applicants should save and print written proof of an electronic submission made at www.grants.gov. Applicants can expect to receive multiple emails regarding the status of their submission. Since email communication can be unreliable, applicants must proactively check on the status of their application if they do not receive email notifications within a day of submission.

An applicant should expect to receive two emails from www.grants.gov over the two business days following receipt of an application: the first will confirm receipt of the application, and the second will indicate that the application has either been successfully validated by the system before transmission to EDA or has been rejected due to errors. **Because it can take up to two business days after www.grants.gov receives an application for applicants to receive email notification of an error, applicants should time their submissions to allow for application correction and resubmission by the competition deadline.** Applicants that choose to submit on or close to the competition deadline are advised that they may not receive email notification of an error until after the competition deadline and, in this case, will not have an opportunity to resubmit their application. Applicants will receive a third email once EDA has retrieved their applications.

It is the applicant's responsibility to verify that its submission was timely received and validated successfully at www.grants.gov. To see the date and time your application was received, log on to www.grants.gov and click on the "Track My Application" link from the left-hand menu. For a successful submission, the application must be received and validated by www.grants.gov, and have an agency tracking number assigned. If the date and time received is later than 11:59 p.m. Eastern Time on May 26, 2011, your application is late. If your application has a status of "Received" it is still awaiting validation by www.grants.gov. Once validation is complete, the status will change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons www.grants.gov may reject an application can be found at http://www.grants.gov/applicants/submit_application_faqs.jsp.

Grants.gov systems issues. If you experience a www.grants.gov "systems issue" (technical problems or glitches with the www.grants.gov website) that you believe threatens your ability to complete a submission before the closing date for this competitive solicitation, please (i) print any error message received; and (ii) call the www.grants.gov Contact Center at 1-800-518-4726 for immediate assistance. Ensure that you obtain a case number regarding your communications with www.grants.gov. *Please note:* problems with computer systems at the applicant organization are not considered systems issues. Similarly, an applicant's failure to complete the required registration, ensure that an AOR submits the application, or notice receipt of an email message from www.grants.gov, are not considered systems issues. A www.grants.gov "systems issue" is an issue occurring in connection with the operations of www.grants.gov itself, such as the temporary loss of service by www.grants.gov due to unexpected volume of traffic or failure of information technology systems, both of which are highly unlikely and both of which can be verified by www.grants.gov.

Alternative method of submission in case of www.grants.gov systems issues. If you experience a www.grants.gov systems issue affecting submission as defined above, you may email the complete application package downloaded from www.grants.gov to i6@eda.doc.gov by the competition deadline only if the following requirements are met. To utilize the alternative method, the applicant organization must have communicated with www.grants.gov and attempted unsuccessfully to resolve the systems issue. The applicant's email to i6@eda.doc.gov must contain the www.grants.gov case number provided in communications with www.grants.gov to resolve the issue and a synopsis of the systems issue and the reason it could not be resolved. The alternative submission method can only be used if the applicant works with www.grants.gov to resolve the issue and provides the www.grants.gov case number and systems issue synopsis.

Please note that use of the alternative method **does not** extend the competition deadline. EDA must receive the complete application package by 11:59 p.m. Eastern Time on May 26, 2011. This means that applicants must have attempted to submit via www.grants.gov, tried to resolve any systems issue, and submitted the emailed application in time for EDA to receive it by the competition deadline. Please note that sending the email does not guarantee that EDA will receive the application package by the competition deadline. EDA is not responsible for features of applicant systems, such as security and file size constraints, that may delay EDA's receipt of email.

EDA will not accept email transmissions of applications unless the applicant has demonstrated a www.grants.gov systems issue as described above. Please note that this option is an alternative method only and applicants must use www.grants.gov unless this situation arises. EDA reserves the right to obtain confirmation of a www.grants.gov systems issue before accepting an emailed application.

E. Intergovernmental Review

The applicant is subject to the requirements of Executive Order 12372, "*Intergovernmental Review of Federal Programs*," which requires consultation with State and local government in accordance with 13 C.F.R. §302.9. To find out more about a State's process under Executive Order 12372, the applicant may contact its state's Single Point of Contact (SPOC). Names and addresses of some States' SPOCs are listed on the Office of Management and Budget's (OMB) home page at http://www.whitehouse.gov/omb/grants_spoc.

F. Informational Session

EDA will hold at least one informational session for **i6 Green**. This session will be used to provide general program and application submission information and answer participant questions. More details on the session and on any additional sessions will be posted on the i6 Green website at www.eda.gov/i6.

VI. Award Administration Information

A. Award Notification

After the Selecting Official selects the winning applicants, the Grants Officer (who is also the Selecting Official) will issue the grant awards (using Form CD-450). By signing Form CD-450, the winning applicant agrees to comply with all award provisions. The grant award is submitted by postal mail or overnight delivery service to the appropriate business office of the winning applicant and must be signed and returned without modification by an authorized representative of the winning applicant within 30 days after receipt. Subject to the availability of funding, winning applicants should expect to receive grant award packages by September of 2011.

Unsuccessful applicants will be notified that their application was not selected for funding. Unsuccessful applications will be retained by EDA for three years, after which they will be destroyed.

B. Unsuccessful Competition

On occasion, competitions or review panels produce less than optimum results, such as a competition resulting in the receipt of no applications or a competition resulting in the receipt of only unresponsive or unsatisfactory applications. In the event that these conditions arise, EDA shall take the most time- and cost-effective approach available to address the circumstances that is in the best interest of the Federal Government. This includes, but is not limited to, (i) re-competition or (ii) re-paneling.

C. Administrative and National Policy Requirements

Administrative and national policy requirements for all DOC awards apply to this competition. These requirements may be found in the *Department of Commerce Pre-Award Notification Requirements for Grants and Cooperative Agreements*, published in the *Federal Register* on February 11, 2008 (73 FR 7696). This notice may be accessed at the Government Printing Office (GPO) website at <http://www.gpo.gov/fdsys/browse/collection.action?collectionCode=FR>.

D. Reporting Requirements

1. All recipients are required to submit financial, performance, and impact reports in accordance with the terms and conditions of the grant award.
2. The Federal Funding Accountability and Transparency Act of 2006 includes a requirement for awardees of applicable Federal grants to report information about first-tier subawards and executive compensation under Federal assistance awards issued in FY 2011 or later. All awardees of applicable grants and cooperative agreements are required to report to the Federal Subaward Reporting System (FSRS) available at www.FSRS.gov on all subawards over \$25,000. Please see

the OMB guidance published at 2 C.F.R. part 170 (2010), which can be accessed at http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr170_main_02.tpl.

E. Uniform Administrative Requirements, Federal Cost Principles, and Funding Restrictions

The general and administrative requirements for EDA awards are set forth in 13 C.F.R. parts 300–302. Specific application and award requirements for the Economic Adjustment Assistance Program are provided in 13 C.F.R. part 307. Generally, costs that are allowable include salaries, supplies, and other expenses that are reasonable and necessary for the completion of the scope of work.

The uniform administrative requirements for DOC grants and cooperative agreements are codified at 15 C.F.R. parts 14 and 24. EDA allowable costs are determined in accordance with the following regulations (incorporated by reference at 15 C.F.R. parts 14 and 24): (i) 2 C.F.R. part 220, *Cost Principles for Educational Institutions (OMB Circular A-21)*; (ii) 2 C.F.R. part 225, *Cost Principles for State, Local and Indian Tribal Governments (OMB Circular A-87)*; (iii) 2 C.F.R. part 230, *Cost Principles for Nonprofit Organizations (OMB Circular A-122)*; and (iv) Federal Acquisition Regulation Subpart 31.2, *Contracts with Commercial Organizations*, codified at 48 C.F.R. § 31.2. Applicable administrative requirements and Federal cost principles are incorporated by reference into the terms and conditions of each EDA award.

F. OMB Circular A-133 Audit Requirements

Single or program-specific audits shall be performed in accordance with the requirements contained in OMB Circular A-133, “*Audits of States, Local Governments, and Non-Profit Organizations*,” and the related *Compliance Supplement*. OMB Circular A-133 requires any non-Federal entity (i.e., non-profit organizations, including non-profit institutions of higher education and hospitals, States, local governments, and Indian Tribes) that expends Federal awards of \$500,000 or more in the recipient’s fiscal year to conduct a single or program-specific audit in accordance with the requirements set out in the Circular. Applicants are reminded that EDA or the DOC’s Office of Inspector General also may conduct an audit of an award at any time.

VII. Additional Information and Requirements

A. No Obligation for Future Funding

If an applicant is awarded funding, neither DOC nor EDA is under any obligation to provide any additional future funding in connection with that award or to make any future award(s). Amendment or renewal of an award to increase funding, amend the scope of work, or extend the period of performance is at the discretion DOC and EDA.

B. Freedom of Information Act Disclosure

The Freedom of Information Act (5 U.S.C. § 552) (FOIA) and the DOC's implementing regulations at 15 C.F.R. part 4 set forth the rules and procedures for DOC regarding making requested materials, information, and records publicly available under FOIA. Unless prohibited by law and to the extent permitted under FOIA, contents of applications submitted by applicants may be subject to release in response to FOIA requests. In the event that an application contains information or data that the applicant deems to be confidential commercial information, which is exempt from disclosure under FOIA, that information should be identified, bracketed, and marked as "Privileged, Confidential, Commercial or Financial Information." Based on these markings, the confidentiality of the contents of those pages will be protected to the extent permitted by law.

C. DUNS Numbers and CCR Registration

To enable the use of a universal identifier and to enhance the quality of information available to the public as required by the Federal Funding Accountability and Transparency Act of 2006, to the extent applicable, any proposal awarded in response to this announcement will be required to use the Central Contractor Registration and Dun and Bradstreet Universal Numbering System, as identified in OMB guidance published at 2 CFR part 25 (2010), which can be accessed at http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title02/2cfr25_main_02.tpl.

VIII. Agency Contacts

The **i6 Green** website at www.eda.gov/i6 contains additional information, including an extensive list of frequently asked questions (FAQs). In addition, you may contact the appropriate i6 Green regional office contact listed below. EDA's website at www.eda.gov contains additional information on EDA and its programs.

Austin Regional Office Jessica Falk: jfalk@eda.doc.gov	Serves: Arkansas, Louisiana, New Mexico, Oklahoma, and Texas
Atlanta Regional Office Lauren Dupuis: LDupuis@eda.doc.gov	Serves: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee
Chicago Regional Office Dennis Foldenauer: dfoldenauer@eda.doc.gov	Serves: Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin
Denver Regional Office Jenny Benz: jbenz@eda.doc.gov	Serves: Colorado, Iowa (excluding Muscatine and Scott counties), Kansas, Missouri, Montana, Nebraska, North Dakota, South Dakota, Utah, and

	Wyoming
Philadelphia Regional Office Paul Matyskiela: pmatyskiela@eda.doc.gov	Serves: Connecticut, Delaware, District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Vermont, Virginia, West Virginia, Puerto Rico, Virgin Islands
Seattle Regional Office Brian Parker: bparker@eda.doc.gov	Serves: Alaska, Arizona, American Samoa, California, Guam, Hawaii, Idaho, Republic of Marshall Islands, Federated States of Micronesia, Nevada, Northern Mariana Islands, Oregon, Republic of Palau, and Washington